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PTO/SB/21 (08-00)  
Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number 10/010,729  
Filing Date November 13, 2001  
First Named Inventor Moses Rodriguez  
Group Art Unit 1641  
Examiner Name Unknown  
Attorney Docket Number 1199-1-005CIP2

### ENCLOSURES (check all that apply)

- |   |   |  |
|---|---|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form                                | <input type="checkbox"/> Assignment Papers (for an Application)                         | <input type="checkbox"/> After Allowance Communication to Group                                      |
| <input checked="" type="checkbox"/> Fee Attached  | <input checked="" type="checkbox"/> Drawing(s)  | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences                  |
| <input type="checkbox"/> Amendment / Reply  | <input type="checkbox"/> Licensing-related Papers                                       | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)           |
| <input type="checkbox"/> After Final  | <input type="checkbox"/> Petition   | <input type="checkbox"/> Proprietary Information   |
| <input type="checkbox"/> Affidavits/declaration(s)                                      | <input type="checkbox"/> Petition to Convert to a Provisional Application               | <input type="checkbox"/> Status Letter   |
| <input type="checkbox"/> Extension of Time Request                                      | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):                      |
| <input type="checkbox"/> Express Abandonment Request                                    | <input type="checkbox"/> Terminal Disclaimer  | Declaration and Power of Attorney, Sequence Listing, Amendment, Copy of Notice To File Missing Parts |
| <input type="checkbox"/> Information Disclosure Statement                               | <input type="checkbox"/> Request for Refund   |  |
| <input type="checkbox"/> Certified Copy of Priority Document(s)                         | <input type="checkbox"/> CD, Number of CD(s) _____                                      |  |
| <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application   | Remarks   | Applicants claim small entity status.  |
| <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 |   |  |

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

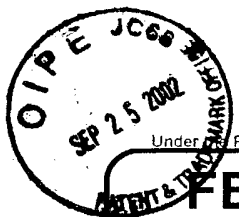
Firm or Individual name David A. Jackson  
Signature   
Date September 20, 2002

### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: Sept. 20, 2002

Typed or printed name Martha Bussanich  
Signature Date September 20, 2002

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Washington, DC 20231



PTO/SB/17 (10-01)  
Approved for use through 10/31/2002 OMB 0651-0032  
U S Patent and Trademark Office, U S DEPARTMENT OF COMMERCE  
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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)**3,569.00**

## Complete if Known

Application Number	10/010,729
Filing Date	November 13, 2001
First Named Inventor	Moses Rodriguez
Examiner Name	Unknown
Group Art Unit	1641
Attorney Docket No.	1199-1-005CIP2

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to
- Deposit Account Number **11-1153**
- Deposit Account Name
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status See 37 CFR 1.27
2. ☒ Payment Enclosed:
- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	370.00
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$)**370.00**

### 2. EXTRA CLAIM FEES

Total Claims **100** - 20\*\* = **80** x **9.00** = **720.00**

Independent Claims **40** - 3\*\* = **37** x **42.00** = **1554.00**

Multiple Dependent **140.00** = **140.00**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 84	202 42	Independent claims in excess of 3
104 280	204 140	Multiple dependent claim, if not paid
109 84	209 42	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)**2,414.00**

\*\*for number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	65.00
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	720.00
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	
Other fee (specify) Fee for Terminal Disclaimer submitted 9/6/02.			
*Reduced by Basic Filing Fee Paid			
SUBTOTAL (3) (\$) <b>785.00</b>			

## SUBMITTED BY

Name (Print/Type) **David A. Jackson**

Registration No (Attorney/Agent) **26,742**

## Complete (if applicable)

Telephone **(201) 487-5800**

Signature

*David A. Jackson*

Date

**September 20, 2002**

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Ref: 09/27/2002 RMD0AF1 0016032600  
DAH:111153 Name/Number:10010729  
FC: 704 \$370.00 CR



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Page 1 of 2

# 3

*MP*

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D C 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/010,729	11/13/2001	Rodriguez Moses	1199-1-005CIP2

CONFIRMATION NO. 4304

23565  
KLAUBER & JACKSON  
411 HACKENSACK AVENUE  
HACKENSACK, NJ 07601

FORMALITIES LETTER



\*OC000000007673345\*

Date Mailed: 03/20/2002

Adjustment date: 11/27/2002 YGIZAW  
09/25/2002 CNGUYEN 00000027 111153 10010729

01 FC:201 370.00 CR  
02 FC:203 720.00 CR  
03 FC:202 1554.00 CR  
04 FC:204 140.00 CR  
05 FC:205 65.00 CR

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

09/25/2002 CNGUYEN 00000027 111153 10010729

01 FC:201 370.00 CH  
02 FC:203 720.00 CH  
03 FC:202 1554.00 CH  
04 FC:204 140.00 CH  
05 FC:205 65.00 CH

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 370 to complete the basic filing fee for a small entity.*
- Total additional claim fee(s) for this application is \$2414.
  - \$720 for 80 total claims over 20.
  - \$1554 for 37 independent claims over 3.
  - \$140 for multiple dependent claim surcharge.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 2849.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - more than one figure is present and each figure is not labeled "Fig." with a consecutive Arabic numeral (1, 2, etc.) or an Arabic numeral and capital letter in the English alphabet (A, B, etc.)(see 37 CFR 1.84(u)(1));
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May

15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

**For questions regarding compliance to these requirements, please contact:**

- **For Rules Interpretation, call (703) 308-4216**
- **To Purchase PatentIn Software, call (703) 306-2600**
- **For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)**

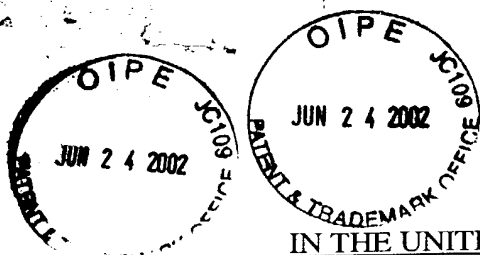
*A copy of this notice **MUST** be returned with the reply.*



Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



#9  
COPY OF PAPERS  
ORIGINALLY FILED

0300

#5

PATENT  
1199-1-005CIP2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT : Moses RODRIGUEZ *et al*  
SERIAL NO. : 10/010,729 EXAMINER : Unknown  
FILED : November 13, 2001 ART UNIT : Unknown  
FOR : HUMAN IgM ANTIBODIES, AND DIAGNOSTIC AND  
THERAPEUTIC USES THEREOF PARTICULARLY IN THE  
CENTRAL NERVOUS SYSTEM

CERTIFICATE OF FACSIMILE TRANSMISSION

I hereby certify that this correspondence is being transmitted via facsimile to the ASSISTANT  
COMMISSIONER FOR PATENTS, WASHINGTON, D.C. 20231 on June 11, 2002.

David A. Jackson, Reg. No. 26,742  
(Name of Registered Rep.)

Martha Bussanich 6/11/02  
(Signature and Date)

**AMENDMENT, PETITION AND FEE DELETING CORRECTLY NAMED  
PERSON(S) WHO ARE NOT INVENTOR(S) OF INVENTIONS NOW  
BEING CLAIMED (37 C.F.R. § 1.48(b))**

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

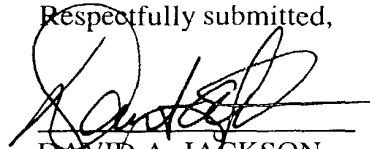
This amendment and petition under 37 C.F.R. § 1.48(b) is to delete the name(s) of the  
following person(s) named as inventor(s) and who is (are) not the inventor(s) of the invention now  
being claimed: Albert James Hudspeth

No additional fees are believed to be necessitated by the foregoing amendment. However,  
should this be erroneous, authorization is hereby given to charge Deposit Account No. 11-1153 for  
any underpayment or credit any overages.

PATENT  
1199-1-005CIP2

Applicants respectfully request entry of the foregoing into the file history of the above-identified Application prior to Issue.

Respectfully submitted,



DAVID A. JACKSON  
Attorney for Applicant(s)  
Registration No. 26,742

KLAUBER & JACKSON  
411 Hackensack Avenue  
Hackensack, NJ 07601  
(201) 487-5800

Date: June 11, 2002



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STEVE S CHA  
VALETA A GREGG, PH D \*  
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LAWRENCE D MANDEL\*  
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WRITER'S E-MAIL

DAVID JACKSON@KJPLAW.COM

September 20, 2002

U.S. Patent and Trademark Office  
Box Sequence  
P.O. Box 2327  
Arlington, VA 22202

Re: U.S. Patent Application

Applicant(s): Moses Rodriguez et al.

Title: HUMAN IgM ANTIBODIES, AND DIAGNOSTIC AND  
THERAPEUTIC USES THEREOF PARTICULARLY IN  
THE CENTRAL NERVOUS SYSTEM

Serial No.: 10/010,729

Filed: November 13, 2001

Docket No.: 1199-1-005CIP2

**CERTIFICATE OF MAILING UNDER 37 CFR 1.8**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to the ASSISTANT COMMISSIONER OF PATENTS, WASHINGTON, DC 20231 on September 20, 2002.

David A. Jackson, Reg. No. 26,742  
(Name of Registered Representative)

Martha Bussanich 9/20/02  
(Signature and Date)

**SUBMISSION OF SEQUENCE LISTING**

Sir:

Responsive to the Notice dated March 20, 2002, and in accordance with 37 CFR 1.821-1.825, Applicants submit herewith the following:

1. A paper copy of a Sequence Listing for insertion into the Application as filed at the end of the Specification and prior to the Claims.

U.S. Patent and Trademark Office  
September 20, 2002  
Page 2

Docket No.: 1199-1-005CIP2

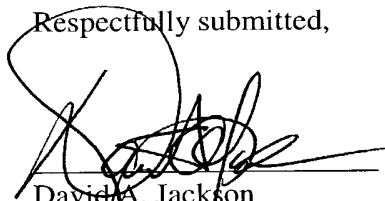
2. A copy of the Sequence Listing in computer readable form (ASCII text), submitted on a 3½" floppy disk compatible with IBM format.
3. A statement in support of the filing and submission of a Sequence Listing in accordance with 37 CFR 1.821 - 1.825.
4. A copy of the Notice to Comply with Requirements for Patent Applications containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures.

The time set for this response is September 20, 2002.

Applicants request favorable consideration and entry of the Sequence Listing submitted herewith and further and favorable processing of the present Application.

Applicants hereby authorize that any charges in addition to the above authorized that relate to the filing and processing of the present Application in accordance with 37 CFR 1.16 and 1.17 may be charged to Deposit Account No. 11-1153. A duplicate copy of this letter is provided for this purpose.

Respectfully submitted,



David A. Jackson  
Attorney for Applicant(s)  
Registration No. 26,742

DAJ/mb  
Enclosures

KLAUBER & JACKSON